

**CERTIFICATE OF ELECTRONIC TRANSMISSION**

I hereby certify that this correspondence is being electronically deposited with the United States Patent and Trademark Office through the Electronic Filing System, on the below date:  
 Date: January 13, 2010 Name: Scott A. Timmerman (Reg. No. 55,678) Signature: /Scott A. Timmerman/

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Appln of: James Farrell et al.

U.S. Patent Application Serial  
 No.: 10/713,126

U.S. Filing  
 Date: November 14, 2003

For: SYSTEM AND METHOD FOR CONTROLLING  
 MARKETS DURING A STOP LOSS TRIGGER

Attorney Docket No: 4672/310

Examiner: Weis, Samuel

Group Art Unit: 3695

Confirmation No.: 9585

Mail Stop Amendment  
 Commissioner for Patents  
 P. O. Box 1450  
 Alexandria, VA 22313-1450

**TRANSMITTAL**

Sir:

**Attached is/are:**

- ☒ Amendment and Remarks  
☐ Return Receipt Postcard

**Fee calculation:**

- ☒ No additional fee is required.  
☐ Small Entity.  
☐ An extension fee in an amount of \$\_\_\_\_\_ for a \_\_\_\_ ( )-month extension of time under 37 C.F.R. § 1.136(a).  
☐ A petition or processing fee in an amount of \$\_\_\_\_\_ under 37 C.F.R. § 1.17(\_\_\_\_).  
☐ An additional filing fee has been calculated as shown below:

					Small Entity			Not a Small Entity	
	Claims Remaining After Amendment		Highest No. Previously Paid For	Present Extra	Rate	Add'l Fee	OR	Rate	Add'l Fee
Total		Minus			x \$26=			x \$52=	
Indep.		Minus			x \$110=			x \$220=	
First Presentation of Multiple Dep. Claim					+\$195=			+ \$390=	
					Total	\$		Total	\$

**Fee payment:**

- ☐ Please charge Deposit Account No. 23-1925 in the amount of \$\_\_\_\_\_. A copy of this Transmittal is enclosed for this purpose.  
☐ Payment by credit card in the amount of \$\_\_\_\_\_ (Form PTO-2038 is attached).  
☒ The Director is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this paper (including any extension fee required to ensure that this paper is timely filed), or to credit any overpayment, to Deposit Account No. 23-1925.

Respectfully submitted,

January 13, 2010  
 Date

/Scott A. Timmerman/  
 Scott A. Timmerman (Reg. No. 55,678)